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<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence during pendency of filed application)</i>	Application Number	10/635,755	
	Filing Date	August 5, 2003	
	First Named Inventor	Vincent A. Larsen	
	Group Art Unit Number	2131	
	Examiner Name	Not Yet Known	
Total Number of Pages in This Submission	5*	Attorney Docket Number	24089-09280

ENCLOSURES (check all that apply)	
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Attorney/Reg. No.:	Pierre Keeley, Reg. No. 57,045
Dated:	8/14/06

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Vincent A. Larsen  
APPLICATION NO.: 10/635,755  
FILING DATE: August 5, 2003  
TITLE: Financial Transaction Server with Process-Based Security  
EXAMINER: Not Yet Known  
GROUP ART UNIT: 2131  
ATTY. DKT. NO.: 24089-09280

**CERTIFICATE OF MAILING**

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8/14/06

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*Pierre Keeley*  
Pierre Keeley, Reg. No.: 57,045

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**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

**Under 37 CFR §§ 1.56 and 1.97-98**

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO/SB/08A listing references for consideration by the Examiner.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

This Information Disclosure Statement is being filed:

- ☒ within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first office action on the merits, whichever event last occurred;
- ☐ before the mailing of a first official action after the filing of a request for continued examination (RCE) under 37 CFR § 1.114;

- ☐ after three months of the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either: (1) a final action under 37 CFR §1.113; or (2) an action that otherwise closes prosecution in the application, and:
  - ☐ attached hereto is the fee set forth under 37 CFR §1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
  - ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
    - ☐ each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
    - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement;
- ☐ on or before the payment of the issue fee but after the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; (2) a notice of allowance under 37 CFR § 1.311; or (3) an action that otherwise closes prosecution in the application, and:
  - ☐ Applicant certifies pursuant to 37 CFR. § 1.97(e) that:
    - ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement;
    - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this

certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement; AND

- ☐ attached hereto is the fee set forth under 37 CFR §1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(d); OR
- ☐ after the payment of the issue fee. Applicant requests that the information contained in this Information Disclosure Statement be placed in the file according to 37 CFR § 1.97(i), although the information may not be considered by the USPTO.
- ☐ Enclosed is a copy of each listed reference that may be material to the examination of this application, and for which there may be a duty to disclose.
- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. \_\_\_\_\_, filed on \_\_\_\_\_, and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).
- ☒ Copies of any foreign patent documents and non-patent literature cited herein are enclosed.
- ☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application, and the communication was not received by any individual designated in 37 CFR § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement. 37 CFR § 1.704(d).
- ☒ Applicant submits that no fee is required for the consideration of this Information Disclosure Statement.


Consideration of the listed references and favorable action are solicited.

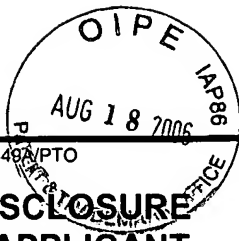
Respectfully submitted,  
VINCENT A. LARSEN

Dated: \_\_\_\_\_

8/14/06

By: \_\_\_\_\_

  
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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT****Complete if Known**

Application No.	10/635,755
Filing Date	August 5, 2003
First Named Inventor	Vincent A. Larsen
Art Unit	2131
Examiner Name	Not Yet Known
Attorney Docket Number	24089-09280

Sheet

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of

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**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document No. Number – Kind Code <sup>2</sup> (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
	A1	US-2002/0138756 A1	09-26-2002	Makofka et al.
	A2	US-2002/0073072 A1	06-13-2002	Fukumoto
	A3	US-5,925,126	07-20-1999	Hsieh
	A4	US-4,104,718	08-01-1978	Poublan et al.

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> – Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup>

**OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>6</sup>
	C1	COHEN, E. et al., "Protection in the Hydra Operating System," Fifth Symposium on Operating Systems Principles, November 19-21, 1975, pp. 141-160, [online] Retrieved from the Internet<URL: <a href="http://delivery.acm.org/10.1145/810000/806532/p141-cohen.pdf?key1=806532&amp;key2=9644615511&amp;coll=&amp;dl=GUIDE&amp;CFID=15151515&amp;CFTOKEN=6184618">http://delivery.acm.org/10.1145/810000/806532/p141-cohen.pdf?key1=806532&amp;key2=9644615511&amp;coll=&amp;dl=GUIDE&amp;CFID=15151515&amp;CFTOKEN=6184618</a> >	
	C2	SPENCER, R. et al., "The Flask Security Architecture: System Support for Diverse Security Policies," [online] Retrieved from the Internet<URL: <a href="http://www.nsa.gov/selinux/papers/flask.pdf">http://www.nsa.gov/selinux/papers/flask.pdf</a> >	

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

24089/09280/DOCS/1647050.1